

# **Defense Personnel Records Information Retrieval System (DPRIS)**

## **PRIVACY IMPACT ASSESSMENT**



Prepared for the

Office of the Deputy Under Secretary of Defense  
for Program Integration  
Joint Requirements and Integration Office  
(JR&IO)

**April 2, 2004**

Department of Defense (DOD)  
 Joint Requirements and Integration Office (JR&IO)  
 Defense Personnel Records Information Retrieval System (DPRIS)  
 Information Technology (IT) Privacy Impact Assessment (PIA)

The PIA determines what kind of information in identifiable form (IIF) is contained within a system, what is done with that information, and how that information is protected. Systems with IIF are subject to an extensive list of requirements based on privacy laws, regulations, and guidance. The DOD Privacy Advocate, for issues related to the Privacy Advocate and citizen complaints, and the DOD Privacy Officer, for issues related to Freedom Of Information Act (FOIA) and the Privacy Act, and respective OPDIV Privacy Contacts, for issues related to the Privacy Act, can all be used as a resource for questions related to the technicalities of privacy law. The OCIO can answer questions related to the administrative, technical, and physical controls of the system.

Identifying Numbers (Use N/A for items that are Not Applicable)

Unique Project Identifier Number (UPI)	No UPI has been assigned, because DPRIS is not currently part of the OMB A-11 Capital Planning process. Plans are in place to make DPRIS part of this process in the near future.
Privacy Act System of Records (SOR) Number:	None. The Washington Headquarters Services DoD Privacy Act Office has provided an opinion that DPRIS is not a system of records as contemplated by the Privacy Act.
OMB Information Collection Approval Number and Expiration Date:	None. No information is collected by DPRIS. No Information Collection Approval Number is required.
Other Identifying Number(s):	None
System Name:	Defense Personnel Records Information Retrieval System (DPRIS)
System Location (agency or contractor office building, room, city, and state):	Agency/Contractor: <u>CACI's Development and Operations Center</u> Street Address: <u>50 North Laura Street Suite 2100</u> Building: <u>N/A</u> City <u>Jacksonville</u> ST <u>FL</u> ZIP <u>32202</u>
System Point of Contact (POC)	Michael Monteleone, DPRIS Program Manager, JR&IO
Activity/Purpose of System:	Process and transmit sensitive but unclassified information associated with social security numbers, medical, and personnel records.

\*\*\*For clarification and definition of terms, please refer to September 26, 2003 [Memorandum on OMB Guidance for Implementing the Privacy Provisions of the E-Government Act of 2002](#).\*\*\*

No.	Privacy Question Sets	User Responses			Comments
		Yes	No	N/A	
<b>System Characterization and Data Categorization</b>					
1	<b>Does/Will DoD own the system?</b>  Note: If no, identify the system owner in the Comments column.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Owner: _____
2	<b>Does/Will DoD operate the system?</b>  Note: If no, identify the system operator in the Comments column.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Operator: Contractor CACI is responsible for develop maintenance, upgrading, etc. DoD operates the system to perform DoD functions.
3	<b>Identify in the Comments column the life-cycle phase of this system.</b>				<input type="checkbox"/> Initiation <input checked="" type="checkbox"/> Develop/Acquisition <input type="checkbox"/> Implementation <input type="checkbox"/> Operations/Maintenance <input type="checkbox"/> Disposal  We are currently in DPRIS "programmatic phase 1" and in DITSCAP phase 3.  Programmatic Phase 1 is "the development of a standard interface between the VA Personnel Information Exchange System (PIES), the Center for Unit Records Research (CURR), and the four Military Service systems – Army, Navy, Marine Corps and Air Force.  Programmatic Phase 2 will include development of a web portal for additional authorized Government users, such as the Department of Labor (DoL), Social Security Administration (SSA). The SSAA will be updated as required to incorporate additional Government and Service sites interfacing with the DPRIS system.  Programmatic Phase 3 is projected to be the final programmatic phase for DPRIS.
4	<b>Has/have any of the major changes listed in the comment column occurred to the system since the conduct of the last PIA?</b>  If yes, please check which change(s) have occurred.			<input checked="" type="checkbox"/>	<input type="checkbox"/> Conversions <input type="checkbox"/> Anonymous to Non-Anonymous <input type="checkbox"/> Significant System Management Changes <input type="checkbox"/> Significant Merging <input type="checkbox"/> New Public Access <input type="checkbox"/> Commercial Sources <input type="checkbox"/> Internal Flow or Collection <input type="checkbox"/> Alteration in Character of Data  <b>No previous PIA: System in Development</b>
5	<b>Is the system (or will the system be) a stand-alone system?</b>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
6	<b>Is the system (or will the system be) network-connected?</b>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7	<b>Is the system (or will the system be) a General Support System (GSS), a Major Application, and/or a sensitive system?</b>  Note: If yes, identify whether the system is a GSS, MA or sensitive system in the Comments column.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Type: The system will be a sensitive system. It has not yet been classified as either a GSS or MA.
8	<b>Does/Will the system require an A-11 Capital Planning Exhibit submission to OMB?</b>  Note: If no, please explain why the system will not be part of an Exhibit 300 or 53 submissions.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/> Exhibit 53 <input checked="" type="checkbox"/> Exhibit 300  No submission has been made yet.

No.	Privacy Question Sets	User Responses			Comments
		Yes	No	N/A	
<b>System Characterization and Data Categorization</b>					
9	<p><b>Does/Will the system <i>contain</i> information in identifiable form (IIF) within any database(s), record(s), file(s) or website(s) hosted by this system?</b></p> <p>Note: If yes, check all that apply in the Comments column. If the category of personal information is not listed, please check "Other" and identify the category.</p> <p><b>Please note: This question seeks to identify any, and all, personal information contained within the system. This includes any IIF, whether or not it is subject to the Privacy Act, whether the individuals are employees, the public, research subjects, or business partners, and whether provided voluntarily or collected by mandate. Later questions will try to understand the character of the data and its applicability to the requirements under the Privacy Act or other legislation.</b></p> <p>If the system contains <u>no</u> IIF, none of the remaining questions apply. Please mark remaining questions of this PIA Analysis Worksheet with "N/A", sign, date and save this document as:</p> <p>"System Name (Acronym)_PIA_Agency_MonthYY" and submit to appropriate staff for approval (must include CIO).</p>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<p><b>Personal Information:</b></p> <p><input checked="" type="checkbox"/> Name</p> <p><input type="checkbox"/> Date of Birth</p> <p><input checked="" type="checkbox"/> Social Security Number (or other number originated by a government that specifically identifies an individual)</p> <p><input type="checkbox"/> Photographic Identifiers (e.g., photograph image, x-rays, and video)</p> <p><input type="checkbox"/> Driver's License</p> <p><input type="checkbox"/> Biometric Identifiers (e.g., fingerprint and voiceprint)</p> <p><input type="checkbox"/> Mother's Maiden Name</p> <p><input type="checkbox"/> Vehicle Identifiers (e.g., license plates)</p> <p><input type="checkbox"/> Mailing Address</p> <p><input type="checkbox"/> Phone Numbers (e.g., phone, fax, and cell)</p> <p><input type="checkbox"/> Medical Records Numbers</p> <p><input type="checkbox"/> Medical Notes</p> <p><input type="checkbox"/> Financial Account Information and/or Numbers (e.g., checking account number and PINs)</p> <p><input type="checkbox"/> Certificates (e.g., birth, death, and marriage)</p> <p><input type="checkbox"/> Legal Documents or Notes (e.g., divorce decree, criminal records, or other)</p> <p><input type="checkbox"/> Device Identifiers (e.g., pacemaker, hearing aid, or other)</p> <p><input type="checkbox"/> Web URLs</p> <p><input type="checkbox"/> Email Address</p> <p><input type="checkbox"/> Education Records</p> <p><input type="checkbox"/> Military Status and/or Records</p> <p><input type="checkbox"/> Employment Status and/or Records</p> <p><input type="checkbox"/> Foreign Activities and/or Interests</p> <p><input type="checkbox"/> Other: Date of Death_____</p> <p><input type="checkbox"/> Other: Insurance Information_____</p> <p><input type="checkbox"/> Other:_____</p> <p><input type="checkbox"/> Other:_____</p>
10	<p><b>Indicate the categories of individuals about whom IIF is or will be collected.</b></p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<p><input checked="" type="checkbox"/> Employees</p> <p><input type="checkbox"/> Public citizens</p> <p><input checked="" type="checkbox"/> Patients (</p> <p><input type="checkbox"/> Business partners/contacts (Federal, state, local agencies)</p> <p><input type="checkbox"/> Vendors/suppliers/contractors</p> <p><b>Military personnel</b></p>

No.	Privacy Question Sets	User Responses			Comments
		Yes	No	N/A	
<b>System Characterization and Data Categorization</b>					
11	<p><b>Are records on the system (or will records on the system be) retrieved by one or more data elements?</b></p> <p>Note: If yes, specify in the Comments column what method is or will be used in retrieving the records (i.e., using a record number, name, social security number, or other data element or record locator methodology). If the category of personal information is not listed, please check "Other" and identify the category.</p>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<p><b>Personal Information:</b></p> <ul style="list-style-type: none"> <li><input checked="" type="checkbox"/> Name</li> <li><input type="checkbox"/> Date of Birth</li> <li><input checked="" type="checkbox"/> Social Security Number (or other number originated by a government that specifically identifies an individual)</li> <li><input type="checkbox"/> Photographic Identifiers (e.g., photograph image, x-rays, and video)</li> <li><input type="checkbox"/> Driver's License</li> <li><input type="checkbox"/> Biometric Identifiers (e.g., fingerprint and voiceprint)</li> <li><input type="checkbox"/> Mother's Maiden Name</li> <li><input type="checkbox"/> Vehicle Identifiers (e.g., license plates)</li> <li><input type="checkbox"/> Mailing Address</li> <li><input type="checkbox"/> Phone Numbers (e.g., phone, fax, and cell)</li> <li><input type="checkbox"/> Medical Records Numbers</li> <li><input type="checkbox"/> Medical Notes</li> <li><input type="checkbox"/> Financial Account Information and/or Numbers (e.g., checking account number and PINs)</li> <li><input type="checkbox"/> Certificates (e.g., birth, death, and marriage)</li> <li><input type="checkbox"/> Legal Documents or Notes (e.g., divorce decree, criminal records, or other)</li> <li><input type="checkbox"/> Device Identifiers (e.g., pacemaker, hearing aid, or other)</li> <li><input type="checkbox"/> Web URLs</li> <li><input type="checkbox"/> Email Address</li> <li><input type="checkbox"/> Education Records</li> <li><input type="checkbox"/> Military Status and/or Records (<b>Including dates of service, branch of service</b>)</li> <li><input type="checkbox"/> Employment Status and/or Records</li> <li><input type="checkbox"/> Foreign Activities and/or Interests</li> <li><input type="checkbox"/> Other: <u>Date of Death_____</u></li> <li><input type="checkbox"/> Other: <u>Insurance Information_____</u></li> <li><input type="checkbox"/> Other: _____</li> <li><input type="checkbox"/> Other: _____</li> </ul>
12	<p><b>Are/Will 10 or more records containing IIF [be] maintained, stored or transmitted/passed through this system?</b></p>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
13	<p><b>Is the system (or will it be) subject to the Privacy Act?</b></p> <p>Note: If the answer to questions 9, 11, and 12 were yes, the system will likely be subject to the Privacy Act. System owners should contact their OPDIV's Privacy Contact for assistance with this question if they are less than sure about the applicability of the Privacy Act.</p>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<p>The Washington Headquarters Service DoD Privacy Office has provided an opinion that DPRIS is not a system of records as contemplated by the Privacy Act. All records processed by DPRIS are purged from the database after thirty days.</p> <p>Note: DPRIS does not directly populate other databases, but it provides information that may be used to update/populate other databases.</p>
14	<p><b>Has a Privacy Act SOR Notice been published (or will one be published) in the Federal Register?</b></p> <p>If no, explain why not in the Comments column.</p>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> <li><input type="checkbox"/> No IIF is contained in the system</li> <li><input type="checkbox"/> IIF is in the system, but records are not retrieved by IIF</li> <li><input type="checkbox"/> Should have published an SOR, but was unaware of the requirement</li> <li><input checked="" type="checkbox"/> Other: <u>The Washington Headquarters Service DoD Privacy Office has provided an opinion that DPRIS is not a system of records as contemplated by the Privacy Act. All records processed by DPRIS are purged from the database after thirty days.</u></li> </ul>

No.	Privacy Question Sets	User Responses			Comments
		Yes	No	N/A	
15	If an SOR Notice has been published, have major changes as defined by M-03-22 to the system occurred since publication of the PARN?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	The system is not a system of records as defined by the Privacy Act.
<b>System Characterization and Data Categorization</b>					
16	Does/Will the SOR Notice address all required categories of information?  Note: Check all that apply in the Comments column.	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/> System Name <input type="checkbox"/> Security Classification <input type="checkbox"/> System Location <input type="checkbox"/> Categories of Individuals Covered by the System <input type="checkbox"/> Categories of Records in the System <input type="checkbox"/> Authority of Maintenance of the System <input type="checkbox"/> Purpose <input type="checkbox"/> Routine Uses of Records Maintained in the System <input type="checkbox"/> Disclosure to Consumer Reporting Agencies <input type="checkbox"/> Policies and Practices for Storing, Retrieving, Accessing, Retaining and Disposing of Records <input type="checkbox"/> System Manager(s) and Address <input type="checkbox"/> Notification Procedure <input type="checkbox"/> Record Access Procedure <input type="checkbox"/> Contesting Record Procedure <input type="checkbox"/> Record Source Categories <input type="checkbox"/> Systems Exempted From Certain Provisions of the Act  The system is not a system of records as defined by the Privacy Act.
<b>Information Sharing Practices</b>					
17	Is the IIF in the system voluntarily submitted (or will it be)?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	IIF contained in the system is part of military health and personnel records, which must be provided by military personnel in order to serve in the military and/or receive medical service.

No.	Privacy Question Sets	User Responses			Comments
		Yes	No	N/A	
18	<b>Does/Will the system <i>collect</i> IIF from individuals?</b>  Note: If yes, identify the IIF the system collects or will collect directly from individuals in the Comments column. If the category of personal information is not listed, please check "Other" and identify the category.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<b>Personal Information:</b> <input type="checkbox"/> Name <input type="checkbox"/> Date of Birth <input type="checkbox"/> Social Security Number (or other number originated by a government that specifically identifies an individual) <input type="checkbox"/> Photographic Identifiers (e.g., photograph image, x-rays, and video) <input type="checkbox"/> Driver's License <input type="checkbox"/> Biometric Identifiers (e.g., fingerprint and voiceprint) <input type="checkbox"/> Mother's Maiden Name <input type="checkbox"/> Vehicle Identifiers (e.g., license plates) <input type="checkbox"/> Mailing Address <input type="checkbox"/> Phone Numbers (e.g., phone, fax, and cell) <input type="checkbox"/> Medical Records Numbers <input type="checkbox"/> Medical Notes <input type="checkbox"/> Financial Account Information and/or Numbers (e.g., checking account number and PINs) <input type="checkbox"/> Certificates (e.g., birth, death, and marriage) <input type="checkbox"/> Legal Documents or Notes (e.g., divorce decree, criminal records, or other) <input type="checkbox"/> Device Identifiers (e.g., pacemaker, hearing aid, or other) <input type="checkbox"/> Web URLs <input type="checkbox"/> Email Address <input type="checkbox"/> Education Records <input type="checkbox"/> Military Status and/or Records <input type="checkbox"/> Employment Status and/or Records <input type="checkbox"/> Foreign Activities and/or Interests <input type="checkbox"/> Other: _____ <input type="checkbox"/> Other: _____ <input type="checkbox"/> Other: _____ <input type="checkbox"/> Other: _____
<b>Information Sharing Practices</b>					
19	<b>Does/Will the system <i>collect</i> IIF from <i>other resources</i> (i.e., databases, websites, etc.)?</b>  Note: If yes, specify the resource(s) and IIF in the Comments column.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/> Official Military Personnel Folders (Army PERMS, Navy EMPRS, Air Force ARMS, and Marines ODIRMS) <input checked="" type="checkbox"/> _____ Center for Unit Records Research (CURR) information on troop movements, times of individuals spent at different locations, etc. <input type="checkbox"/> _____ <input type="checkbox"/> _____
20	<b>Does/Will the system <i>populate</i> data for <i>other resources</i> (i.e., do databases, web sites, or other resources rely on this system's data)?</b>  Note: If yes, specify resource(s) and purpose for each instance in the Comments column.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> _____ <input type="checkbox"/> _____ DPRIS does not directly populate other databases but provides information that may be use to populate other databases. <input type="checkbox"/> _____ <input type="checkbox"/> _____ <input type="checkbox"/> _____

No.	Privacy Question Sets	User Responses			Comments
		Yes	No	N/A	
21	<p><b>Does/Will the system <i>share</i> or <i>disclose</i> IIF with other agencies within DoD, agencies external to DOD, or other people or organizations outside DOD?</b></p> <p>Note: If yes, specify with whom and for what purposes, and identify which data elements in the Comments column. If the category of personal information is not listed, please check "Other" and identify the category.</p>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<p>With whom and for what purposes:  <input checked="" type="checkbox"/> VA Personnel Information Exchange System (PIES): DPRIS enables the accepts automated requests from PIES, translates the request to the OMPFs (see question 19), processes the response, then forwards information back to PIES. Information resides on the DRPRIS for only thirty days.  <input type="checkbox"/> _____  <input type="checkbox"/> _____  <input type="checkbox"/> _____</p> <p>IIF shared:  <b>Personal Information:</b>  <input checked="" type="checkbox"/> Name  <input checked="" type="checkbox"/> Date of Birth  <input checked="" type="checkbox"/> Social Security Number (or other number originated by a government that specifically identifies an individual)  <input type="checkbox"/> Photographic Identifiers (e.g., photograph image, x-rays, and video)  <input type="checkbox"/> Driver's License  <input type="checkbox"/> Biometric Identifiers (e.g., fingerprint and voiceprint)  <input type="checkbox"/> Mother's Maiden Name  <input type="checkbox"/> Vehicle Identifiers (e.g., license plates)  <input checked="" type="checkbox"/> Mailing Address  <input type="checkbox"/> Phone Numbers (e.g., phone, fax, and cell)  <input checked="" type="checkbox"/> Medical Records Numbers  <input checked="" type="checkbox"/> Medical Notes  <input type="checkbox"/> Financial Account Information and/or Numbers (e.g., checking account number and PINs)  <input type="checkbox"/> Certificates (e.g., birth, death, and marriage)  <input type="checkbox"/> Legal Documents or Notes (e.g., divorce decree, criminal records, or other)  <input type="checkbox"/> Device Identifiers (e.g., pacemaker, hearing aid, or other)  <input type="checkbox"/> Web URLs  <input type="checkbox"/> Email Address  <input type="checkbox"/> Education Records  <input checked="" type="checkbox"/> Military Status and/or Records  <input type="checkbox"/> Employment Status and/or Records  <input type="checkbox"/> Foreign Activities and/or Interests  <input checked="" type="checkbox"/> Other: <u>    Date of Death    </u>  <input checked="" type="checkbox"/> Other: <u>    Insurance Information    </u>  <input type="checkbox"/> Other: _____  <input type="checkbox"/> Other: _____</p>
22	<p><b>If the IIF in the system is or will be matched against IIF in one or more other computer systems, are (or will there be) computer data matching agreement(s) in place?</b></p>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<p>Retrieval will be for images of documents only. Automated data matching is therefore not possible. Information from the CURR and other sources may be correlated for research purposes.</p>
<b>Information Sharing Practices</b>					



No.	Privacy Question Sets	User Responses			Comments
		Yes	No	N/A	
23	<b>Is there a process, either planned or in place, to notify organizations or systems that are dependent upon the IIF contained in this system when changes occur (i.e., revisions to IIF, when the system encounters a major change, or is replaced)?</b>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Implementation of changes to the system will be coordinated by the DPRIS Configuration Control Board (CCB). The CCB approves technical and security changes and documents the implementation of these changes. The "roles and responsibilities" section of the standard operating procedure will charge the DPRIS Information Assurance Manager (IAM) with establishing an information system security management infrastructure that includes developing computing security policies, procedures, security training and awareness, rules of behavior, incident response procedures, virus detection, and configuration management procedures. While current documentation does not specifically address change communications practices, these procedures are normally included in the policies described above.
24	<b>Is there a process, either planned or in place, to notify and obtain consent from the individuals whose IIF is in the system when major changes occur to the system (e.g., disclosure and/or data uses have changed since the notice at the time of the original collection)?</b>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	The system only passes information through from one source to another. This activity is properly conducted by the system where data is originally collected and entered. Also, no changes to the disclosure practices of the system are contemplated at this time.
25	<b>Is there/will there be a process in place for individuals to choose how their data is used?</b>  If yes, please describe the process for allowing individuals choice in the Comments column.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	The system only passes information through from one source to another. This activity is better conducted by the system where data is originally collected and entered. Also, no changes to the disclosure practices of the system are contemplated at this time.
26	<b>Is there/will there be a complaint process in place for individuals who believe their IIF has been inappropriately obtained, used, or disclosed, or that the IIF is inaccurate?</b>  Note: If yes, please describe briefly the notification process in the Comments column.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	The system only passes information through from one source to another. This activity is better conducted by the system where data is originally collected and entered. Also, no changes to the disclosure practices of the system are contemplated at this time.
27	<b>Are there or will there be processes in place for periodic reviews of IIF contained in the system to ensure the data's integrity, availability, accuracy and relevancy?</b>  Note: If yes, please describe briefly the review process, including the process of retention and destruction of files deemed untimely, inaccurate or irrelevant in the Comments column.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	The system only passes information through from one source to another. This activity is better conducted by the system where data is originally collected and entered. Also, no changes to the disclosure practices of the system are contemplated at this time.

No.	Privacy Question Sets	User Responses			Comments
		Yes	No	N/A	
28	<b>Are there/Will there be rules of conduct in place for access to IIF on the system?</b>  Note: If yes, identify in the Comments column all users with access to IIF on the system, and for what purposes they use the IIF.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/> Users <input checked="" type="checkbox"/> Administrators <input checked="" type="checkbox"/> Developers <input checked="" type="checkbox"/> Contractors  For what purposes: <input checked="" type="checkbox"/> Users are the only group that will use the IIF (although administrators and contractors may function as users). The VA uses the Personnel Information Exchange System (PIES) to query the DPRIS, which accepts the automated requests from PIES, translates the request to the OMPFs (see question 19), processes the response, then forwards information back to PIES. Uses may include purposes related to payment and operations (including determining eligibility to receive benefits).
<b>Web Site Practices</b>					
29	<b>Does/Will the system host a website?</b>  Note: If yes, identify what type of site the system hosts in the Comments column  If no, check "N/A" for all remaining questions in the "Web Site Host Question Sets" section and answer questions starting with the "Administrative Controls" section beginning with Question #35.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Type of site: <input type="checkbox"/> Internet _____ <input checked="" type="checkbox"/> Intranet _____ <input type="checkbox"/> Both _____
30	<b>Is the website (or will it be) accessible by the public or other entities (i.e., Federal, state, and local agencies, contractors, third party administrators, etc.)?</b>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
31	<b>Is a website privacy policy statement (consistent with OMB Section 208 Guidance) posted (or will it be posted) on the website?</b>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	While information will be retrieved using the Internet, a Virtual Private Network (VPN), Secure e-mail, and Secure Socket Layer technology will be used to prevent access by any member of the public or Federal agency not previously disclosed in this PIA. A website privacy policy is not necessary.
32	<b>Is the website's privacy policy in machine-readable format, such as Platform for Privacy Preferences (P3P)?</b>  Note: If no, please describe in the Comments column your FY04 plan and timeline to implement P3P requirements for this system.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	See question 31 above.
33	<b>Are cookies present (or will they be present) on the website?</b>  Note: If yes, identify types of cookies in the Comments column. If persistent tracking technologies are in place, please indicate the official who authorized the use of the persistent tracking technology	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> Session Cookies <input type="checkbox"/> Persistent Cookies  Authorizing Official: _____ Authorizing Date: _____
34	<b>Does/will the website have any information or pages directed at children under the age of thirteen?</b>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	

No.	Privacy Question Sets	User Responses			Comments
		Yes	No	N/A	
35	<p><b>If there is a website directed at children, is information (including session cookies) collected (voluntarily or via cookies)?</b></p> <p>Note: If yes, identify in the Comments column any information collected, if there is a unique privacy policy for the site, and the process for obtaining parental consent if any information is collected.</p>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
36	<p><b>Does/will the web site collect IIF from individuals?</b></p> <p>Note: If yes, identify what IIF the system collects in the Comments column. If the category of personal information is not listed, please check "Other" and identify the category.</p>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<p><b>Personal Information:</b></p> <p><input type="checkbox"/> Name</p> <p><input type="checkbox"/> Date of Birth</p> <p><input type="checkbox"/> Social Security Number (or other number originated by a government that specifically identifies an individual)</p> <p><input type="checkbox"/> Photographic Identifiers (e.g., photograph image, x-rays, and video)</p> <p><input type="checkbox"/> Driver's License</p> <p><input type="checkbox"/> Biometric Identifiers (e.g., fingerprint and voiceprint)</p> <p><input type="checkbox"/> Mother's Maiden Name</p> <p><input type="checkbox"/> Vehicle Identifiers (e.g., license plates)</p> <p><input type="checkbox"/> Mailing Address</p> <p><input type="checkbox"/> Phone Numbers (e.g., phone, fax, and cell)</p> <p><input type="checkbox"/> Medical Records Numbers</p> <p><input type="checkbox"/> Medical Notes</p> <p><input type="checkbox"/> Financial Account Information and/or Numbers (e.g., checking account number and PINs)</p> <p><input type="checkbox"/> Certificates (e.g., birth, death, and marriage)</p> <p><input type="checkbox"/> Legal Documents or Notes (e.g., divorce decree, criminal records, or other)</p> <p><input type="checkbox"/> Device Identifiers (e.g., pacemaker, hearing aid, or other)</p> <p><input type="checkbox"/> Web URLs</p> <p><input type="checkbox"/> Email Address</p> <p><input type="checkbox"/> Education Records</p> <p><input type="checkbox"/> Military Status and/or Records</p> <p><input type="checkbox"/> Employment Status and/or Records</p> <p><input type="checkbox"/> Foreign Activities and/or Interests</p> <p><input type="checkbox"/> Other: _____</p> <p><input type="checkbox"/> Other: _____</p> <p><input type="checkbox"/> Other: _____</p> <p><input type="checkbox"/> Other: _____</p> <p><input type="checkbox"/> Other: _____</p>

No.	Privacy Question Sets	User Responses			Comments
		Yes	No	N/A	
37	<p><b>Does/will the web site <i>share</i> IIF with other agencies within DoD, agencies external to DoD, or other people or organizations outside DoD?</b></p> <p>Note: If yes, specify with whom and for what purposes, and identify the data elements in the Comments column. If the category of personal information is not listed, please check "Other" and identify the category.</p>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<p>With whom and for what purposes:</p> <p><input type="checkbox"/> _____</p> <p><input type="checkbox"/> _____</p> <p><input type="checkbox"/> _____</p> <p><input type="checkbox"/> _____</p> <p><input type="checkbox"/> _____</p> <p>IIF shared:</p> <p><b>Personal Information:</b></p> <p><input type="checkbox"/> Name</p> <p><input type="checkbox"/> Date of Birth</p> <p><input type="checkbox"/> Social Security Number (or other number originated by a government that specifically identifies an individual)</p> <p><input type="checkbox"/> Photographic Identifiers (e.g., photograph image, x-rays, and video)</p> <p><input type="checkbox"/> Driver's License</p> <p><input type="checkbox"/> Biometric Identifiers (e.g., fingerprint and voiceprint)</p> <p><input type="checkbox"/> Mother's Maiden Name</p> <p><input type="checkbox"/> Vehicle Identifiers (e.g., license plates)</p> <p><input type="checkbox"/> Mailing Address</p> <p><input type="checkbox"/> Phone Numbers (e.g., phone, fax, and cell)</p> <p><input type="checkbox"/> Medical Records Numbers</p> <p><input type="checkbox"/> Medical Notes</p> <p><input type="checkbox"/> Financial Account Information and/or Numbers (e.g., checking account number and PINs)</p> <p><input type="checkbox"/> Certificates (e.g., birth, death, and marriage)</p> <p><input type="checkbox"/> Legal Documents or Notes (e.g., divorce decree, criminal records, or other)</p> <p><input type="checkbox"/> Device Identifiers (e.g., pacemaker, hearing aid, or other)</p> <p><input type="checkbox"/> Web URLs</p> <p><input type="checkbox"/> Email Address</p> <p><input type="checkbox"/> Education Records</p> <p><input type="checkbox"/> Military Status and/or Records</p> <p><input type="checkbox"/> Employment Status and/or Records</p> <p><input type="checkbox"/> Foreign Activities and/or Interests</p> <p><input type="checkbox"/> Other: _____</p> <p><input type="checkbox"/> Other: _____</p> <p><input type="checkbox"/> Other: _____</p> <p><input type="checkbox"/> Other: _____</p> <p><input type="checkbox"/> Other: _____</p> <p>The application uses the Internet to request and receive information, but that information will not be available in the manner this question suggests.</p>
38	<p><b>Are rules of conduct in place (or will they be in place) for access to IIF on the website?</b></p> <p>Note: If yes, identify in the Comments column all categories of users with access to IIF on the system, and for what purposes the IIF is used.</p>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<p><input checked="" type="checkbox"/> Users</p> <p><input checked="" type="checkbox"/> Administrators</p> <p><input checked="" type="checkbox"/> Developers</p> <p><input checked="" type="checkbox"/> Contractors</p> <p>For what purposes:</p> <p><input type="checkbox"/> <b>See Question 28 above</b> _____</p> <p><input type="checkbox"/> _____</p> <p><input type="checkbox"/> _____</p> <p><input type="checkbox"/> _____</p> <p><input type="checkbox"/> _____</p>

No.	Privacy Question Sets	User Responses			Comments		
		Yes	No	N/A			
<b>Administrative Controls</b>							
<b>Note:</b> This PIA Guide uses the terms "Administrative," "Technical," and "Physical" to refer to security control questions—terms that are used in several federal privacy laws when referencing security requirements. DOD recognizes the slight difference in terminology used in this guide from those that are used in other documents such as the <i>National Institute of Standards and Technology (NIST) SP 800-26, Security Self-Assessment Guide for Information Technology Systems</i> .							
39	<b>Has the system been authorized (or will it be authorized) to process information?</b>  If yes, please identify when the authorization was provided. If an interim authorization to operate has been given, please indicate this in the Comments column.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	No authorization has been provided yet, but a Designated Approving Authority (DAA) has been identified.		
40	<b>Have there been major changes (as defined by OMB Section 208 Guidance) to the system since it was last certified and accredited (C&amp;A)?</b>  Note: If the system has not been certified and accredited at the time of this PIA, please describe in the Comments column the plan and timeline for conducting a C&A for this system.	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	System is in development and has not yet received a C&A. DPRIS is currently undergoing the C&A process for programmatic phase 1, which is already in the prototype production phase of its life cycle.		
41	<b>Are security controls routinely reviewed (or will they be)?</b>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Re-accreditation will be in accordance with the governance provided in the DITSCAP. The System Security Authorization Agreement shall be updated and approved by the DAA within three months of any modification to the DPRIS System that affects the security architecture or risk to the system.		
42	<b>Is there a system security plan for this system (or will there be)?</b>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	The DPRIS Information System Security Policy complies with DoD policies and is commensurate with commercial best practices. Logical and physical access controls are in place, and a "need-to-know" policy will be enforced.		
43	<b>Is there (or will there be) a contingency (or backup) plan for the system?</b>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Incremental and full backups of data shall be conducted to ensure restoration of DPRIS. Backups must be		
44	<b>Are files backed up regularly (or will they be)?</b>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Incremental and full backups of data shall be conducted to ensure restoration of DPRIS.		
45	<b>Are the backup files stored offsite (or will they be)?</b>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Backups must be stored in a fireproof container if kept on-site; otherwise, backups shall be stored off-site.		
46	<b>Are there user manuals for the system (or will there be)?</b>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	DPRIS is not an end-user system. The PIES system is used to query the DPRIS which in turn extracts data from the sources identified in previous questions.		
47	<b>Have personnel (system owners, managers, operators, contractors and/or program managers) using the system been trained and made aware of their responsibilities for protecting the IIF being collected and maintained (or will they be)?</b>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Training is a critical element of the fielding strategy, and the DPRIS IAM will ensure that DPRIS support staff and security personnel supporting DPRIS receive training as required by DoD policy.		

No.	Privacy Question Sets	User Responses			Comments
		Yes	No	N/A	
<b>Administrative Controls</b>					
48	<b>Who will have/has access to the IIF on the system?</b>  Note: Check all that apply in the Comments column.				<input checked="" type="checkbox"/> Users <input checked="" type="checkbox"/> Administrators <input checked="" type="checkbox"/> Developers <input checked="" type="checkbox"/> Contractors <input checked="" type="checkbox"/> Other: Developer is a contractor. Terms of agreement dictate that if maintenance problems exceed the capability of contractor support staff, and vendor maintenance support is required, technically competent personnel must escort maintenance technicians, observe their activities, and report any suspicious maintenance activities to the Information Assurance Officer.
49	<b>If contractors operate or use the system, have the contracts included clauses ensuring adherence to privacy provisions and practices?</b>  Note: Check all that apply in the Comments column.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Terms of agreement dictate that if maintenance problems exceed the capability of contractor support staff, and vendor maintenance support is required, technically competent personnel must escort maintenance technicians, observe their activities, and report any suspicious maintenance activities to the Information Assurance Officer.  Other clauses address training and security issues.  There is no language specifically addressing the protection of IIF by contractors.
50	<b>Are methods in place to ensure least privilege (i.e., "need to know" and accountability) (or will there be)?</b>  Note: If yes, please specify method(s) in the Comments column.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	The site Information Assurance Officer (IAO) shall coordinate all requests for access to DPRIS through the DPRIS IAM for approval. All users must have a valid need to know and will be required to establish a valid password at logon.  Strict access controls have been implemented in accordance with DoD Regulations and Instructions. Only personnel with a valid need to know and an Information Technology (IT) job designation will be added to the access roster, at the discretion of the Information Assurance Manager. Military Personnel information provided is mapped to the specific questions asked. Only very limited opportunities for receiving the entire record are included in the system.
51	<b>Are there policies or guidelines in place with regard to the retention and destruction of IIF (or will there be)?</b>  Note: If yes, please provide some detail about these policies/practices.	<input checked="" type="checkbox"/>			Information is retained on the servers for a maximum of thirty days.
<b>Technical Controls</b>					
52	<b>Are technical controls in place to minimize the possibility of unauthorized access, use, or dissemination of the data in the system (or will there be)?</b>  Note: If yes, check all that apply in the Comments column.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/> User ID <input checked="" type="checkbox"/> Passwords <input checked="" type="checkbox"/> Firewall <input checked="" type="checkbox"/> Virtual Private Network (VPN) <input checked="" type="checkbox"/> Encryption <input checked="" type="checkbox"/> Intrusion Detection System (IDS) <input type="checkbox"/> Common Access Cards (CAC) <input type="checkbox"/> Smart Cards <input type="checkbox"/> Biometrics <input checked="" type="checkbox"/> Public Key Infrastructure (PKI) <input type="checkbox"/> Other _____ <input type="checkbox"/> Other _____ <input type="checkbox"/> Other _____

No.	Privacy Question Sets	User Responses			Comments
		Yes	No	N/A	
<b>Administrative Controls</b>					
53	<b>Are the following password controls in place (or will they be)?</b>  Note: Check all that apply in the Comments column.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> Passwords expire after a set period of time. <input type="checkbox"/> Accounts are locked after a set period of inactivity. <input checked="" type="checkbox"/> Minimum length of passwords is eight characters. <input checked="" type="checkbox"/> Passwords must be a combination of uppercase, lowercase, and special characters. <input type="checkbox"/> Accounts are locked after a set number of incorrect attempts.
54	<b>Is a process in place to monitor and respond to privacy and/or security incidents (or will there be)?</b>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<p>A security audit mechanism should be implemented to track each user's access to the resources. These resources include the time of that access, user activity (sufficient to ensure user actions are controlled or open to scrutiny and documents any attempts to modify, bypass, or negate safeguards established for the system), and any actions which attempt to change security levels or privileges established for the user. Collect and review user logs, firewall and router audit activity and retain these logs for a minimum of one year. Logs shall be available for review....</p> <p>Develop and test contingency and disaster recovery plans that provide for the partial resumption of mission or business essential functions within five days of activation.</p> <p>A detailed DPRIS Incident Response Plan will be attached to the System Security Authorization Agreement as Appendix K.</p>
<b>Physical Controls</b>					
55	<b>Are physical access controls in place (or will there be)?</b>  Note: If yes, check all that apply in the Comments column.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/> Guards <input checked="" type="checkbox"/> Identification Badges <input type="checkbox"/> Key Cards <input type="checkbox"/> Cipher Locks <input type="checkbox"/> Biometrics <input type="checkbox"/> Closed Circuit TV (CCTV) <input type="checkbox"/> Other _____ <input type="checkbox"/> Other _____ <input type="checkbox"/> Other _____
<b>- END -</b>					





**Joint Requirements and Integration Office (JR&IO)  
Defense Personnel Records Information Retrieval System (DPRIS)  
Information Technology (IT) Privacy Impact Assessment (PIA)**

Date of this Submission: April 2, 2004

Agency: Department of Defense Office of the Under Secretary of Defense (Personnel and Readiness) Defense Human Resources

Activity Joint Requirements and Integration Office

Title of System or Information Collection: Defense Personnel Records Information Retrieval System (DPRIS)

Is this System or Information Collection new or is an existing one being modified? This is a new system.

Does this system collect, maintain, and/or disseminate information in identifiable form? This system collects and disseminates information in identifiable form from servers where the IIF resides.

**Identifying Numbers (Use N/A, where appropriate)**

Unique Project Identifier Number: DoD has not yet submitted any capital planning documentation to OMB on DPRIS, and it has therefore not been assigned a unique project identifier.

System of Records (SOR) Number: Per an opinion of the Washington Headquarters Services DoD Privacy Act Office, DPRIS is not an SOR as defined by the Privacy Act. Therefore, no SOR number has been assigned.

OMB Information Collection Approval Number and Expiration Date: Because the system does not collect information, an information collection approval is not required.

Other Identifying Number(s): None

**DESCRIPTION**

1. Provide an overview of the system or collection and indicate the legislation authorizing this activity.

DPRIS is an information retrieval system that provides an interface between the Department of Veteran Affairs (VA), , and the Army, Marine Corp, and Navy Official Military Personnel File (OMPF) repositories. It is a secure portal and allows users to access and transfer images maintained and stored at the Military Services' OMPF repositories. An Official Military Personnel File (OMPF) contains various kinds of information, including personal information such as name, social security number, birth date, military service dates, and the branch of military service in which the individual served or serves.

2. Describe the information the agency will collect, maintain, or disseminate and how the agency will use the information. In this description, indicate whether the information contains information in identifiable form (IIF) and whether submission is voluntary or mandatory.

The information disseminated by DPRIS is an image of Military Personnel records documents containing IIF that resides in the OMPF repositories of each branch of the armed services. These images are provided to the VA in order for these Departments to make determinations concerning individuals' eligibility to receive VA services and the specific benefits to which these individuals are entitled.

3. Explain how the IIF collected, maintained, and/or disseminated is the minimum necessary to accomplish the purpose for this effort.

DPRIS is an image retrieval system, and therefore can not be re-programmed to extract a subset of the information contained in these images. However, DPRIS's request mechanism ensures that the VA gain access only to those OMPF documents they need to perform their business function. Retrieving this information in general is a critical business function and at this time no other method of retrieving this data is practical.

4. Explain why the IIF is being collected, maintained, or disseminated.

The information is retrieved and provided to the VA. At the VA, caseworkers need access to the information housed in OMPF files to ensure that individuals requesting VA benefits are entitled to them based on their military service and other individual circumstances (such as whether they were honorably discharged).

5. Identify with whom the agency will share the IIF.

DPRIS fulfills requests by VA for OMPFs stored within the Military Services' OMPF repositories and at the Center for Unit Records Research (which has information about field activities, troop movements, etc.).

6. Describe how the IIF will be obtained, from whom it will be collected, what the suppliers of information and the subjects will be told about the information collection, and how this message will be conveyed to them (e.g., written notice, electronic notice if a web-based collection, etc.). Describe any opportunities for consent provided to individuals regarding what information is collected and how the information will be shared.

DPRIS provides an individual's OMPF information to the VA to provide a service to the individual. Because these services are provided to an individual at the request of the individual, the information is only retrieved with the knowledge of the subject of the request. IIF is not collected nor entered directly into the DPRIS system.

7. State whether information will be collected from children under age 13 on the Internet and, if so, how parental or guardian approval will be obtained. (Reference: Children's Online Privacy Protection Act of 1998)

No information is collected from children under age 13 on the Internet.

8. Describe how the IIF will be secured.

DPRIS employs the appropriate administrative, technical, and physical controls to ensure the IIF is securely transmitted from the originator of the information to the partnering agencies. The appropriate controls are validated for DPRIS through the Defense Information Technology Security Certification and Accreditation Process.

9. Describe plans for retention and destruction of IIF.

IIF is not stored in the system. Requests are available to the requestor at the VA for 30 days, after which time they are purged from the system.

10. Identify whether a system of records is being created under section 552a of Title 5, United States Code (the Privacy Act), or identify the existing Privacy Act system of records notice under which the records will be maintained.

Per an opinion of the Washington Headquarters Services DoD Privacy Act Office, the system does not meet the definition of a system of records as defined by section 552a of Title 5, United States Code (the Privacy Act).

Identify a point of contact to whom a member of the public can address questions concerning this information system and the privacy concerns associated with it: Christine Grant, Grantcn@osd.pentagon.mil.